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Application Number	09/815,589
Filing Date	March 23, 2001
First Named Inventor	Gary L. Gastineau
Art Unit	3691
Examiner Name	Kazimi, Hani M.
Attorney Docket Number	00322.0007.CNUS01

Sheet 1 of 1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	C1	Principal Component Estimators in Regression Analysis, Cheng, D.C. and Iglarsh, H.J.; The Review of Economics and Statistics, 58(2), May 1976, pp. 229-234.	
	C2	On Portfolio Optimization: Forecasting Covariances and Choosing the Risk Mode, Chan, L. et al.; The Review of Financial Studies, 12(5), Winter 1999, pp.937-974.	

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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